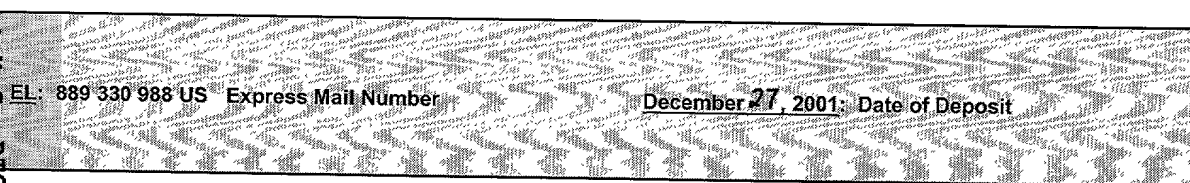


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Box-seqPlease type a plus sign (+) inside this box ☐Attorney Docket P2930R1C7  
PATENTjc996 U.S. PTO  
10/033245  
12/27/01JC984 U.S. PTO  
12/27/01

EL: 889 330 988 US Express Mail Number

December 27, 2001: Date of Deposit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION  
Assistant Commissioner of Patents  
Washington, D.C. 20231**NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)**

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

David Botstein, Belmont, CA  
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 Napoleone Ferrara, San Francisco, CA  
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 William I. Wood, Hillsborough, CA

Title: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS  
ENCODING THE SAME**1. Type of Application**

- ☐ This application is for an original, non-provisional application.
- ☐ This is a non-provisional application claiming priority to provisional application no. \_\_, filed \_\_, the entire disclosure of which is hereby incorporated by reference.
- ☒ This is a continuation application claiming priority under 35 USC §120 to US serial number 09/866,034 filed 5/25/01 which claims priority under 35 USC §120 to PCT international application numbers: PCT/US99/12252, filed June 2, 1999; PCT/US99/28634, filed December 1, 1999; PCT/US99/28551, filed December 2, 1999; PCT/US00/03565, February 11, 2000; PCT/US00/04414, filed February 22, 2000; PCT/US00/05841, filed March 2, 2000; PCT/US00/08439, filed March 30, 2000;

PCT/US00/14941, filed May 30, 2000; PCT/US00/15264, filed June 2, 2000; PCT/US00/32678, filed December 1, 2000; and which claims priority under 35 USC § 119 to US provisional application numbers: 60/095,325, filed August 4, 1998; 60/112,851, filed December 16, 1998; 60/113,145, filed December 16, 1998; 60/113,511, filed December 22, 1998; 60/115,558, filed January 12, 1999; 60/115,565, filed January 12, 1999; 60/115,733, filed January 12, 1999; 60/119,341, filed February 9, 1999; 60/119,537, filed February 10, 1999; 60/119,965, filed February 12, 1999; 60/162,506, filed October 29, 1999; 60/170,262, filed December 9, 1999; 60/187,202, filed March 3, 2000, the entire disclosures of which are hereby incorporated by reference.--

**2. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional )**

131 pages of specification  
3 pages of claims  
1 page(s) of abstract  
18 sheet(s) of drawings  
☒ formal ☐ informal

**3. Declaration or Oath**

*(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)*  
 \_\_\_ An executed declaration of the inventor(s) ☐ is enclosed ☐ will follow.

*(for Cont./Div. where inventorship is the same or inventor(s) being deleted)*  
X A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

*(for Cont./Div. where inventor(s) being deleted)*  
 \_\_\_ A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

**4. Assignment**

*(for new and CIP applications)*  
 \_\_\_ An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with attached Recordation Form Cover Sheet ☐ will follow.

*(for cont./div.)*  
X The prior application is assigned of record to Genentech, Inc.

**5. Amendments (for continuation and divisional applications)**

\_\_\_ Cancel in this application original claims \_\_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

- X A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

# 6. Fee Calculation (37 CFR 1.16)

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$710.00
Total Claims	13	- 20 =	0	X \$18.00	\$0.00
Independent Claims	2	- 3 =	0	X \$80.00	\$0.00
Multiple dependent claim(s), if any				+ \$270.00	\$0.00
Filing Fee Calculation					\$710.00

# 7. Method of Payment of Fees

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$710.00. **A duplicate copy of this transmittal is enclosed.**

# 8. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

# 9. Additional Papers Enclosed

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
- ☒ Submission of electronic and paper copy of Sequence Listing. I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.
- ☒ Other: Post card.

# 10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)

*[This item must be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

\_\_\_\_\_ A petition, fee and/or response has been filed to extend the term in

the pending prior application until

A copy of the petition for extension of time in the **prior** application is attached.

**11. Correspondence Address:**

X Address all future communications to:

Ginger R. Dreger  
Registration No. 33,055 - CUSTOMER NO. 30,313  
Knobbe Martens Olson & Bear  
201 California Street, Suite 1150  
San Francisco, CA 94111  
Telephone: (415) 217-8381

Respectfully submitted,  
GENENTECH, INC.

Date: December 27, 2001

By: Elizabeth M. Barnes  
Elizabeth M. Barnes, Ph.D.  
Reg. No. 35,059  
Telephone No. (650) 225-4563



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PATENT TRADEMARK OFFICE